

The California Emergency Management Agency Continuity Planning Program Description

1.0 INTRODUCTION

The California Emergency Management Agency (Cal EMA) Continuity Planning Program was developed with the goal of providing the California executive branch with the resources needed to develop a strong continuity capability. This program is based upon the updated federal Continuity Program model, as outlined in the Federal Continuity Directive (FCD)-1, the Department of Homeland Security's (DHS) Continuity related documents, and the Standardized Emergency Management System.

2.0 CONTINUITY PLANNING

Continuity planning ensures the continuation of essential functions through a wide range of emergencies and disasters. Today's changing threat environment and recent natural and man-made emergencies demonstrate the need for continuity capabilities and plans at the local, state and federal levels.

The federal government previously defined continuity efforts using the terms "COOP" (Continuity of Operations) and "COG" (Continuity of Government). COOP and COG are traditionally defined as follows:

- Continuity of Operations – An effort within departments and agencies to ensure the continued performance of minimum essential functions during a wide range of potential emergencies. Essentially, it is the capability of maintaining the business of government under all eventualities. This is accomplished through the development of plans, comprehensive procedures, and provisions for alternative facilities, personnel, resources, interoperable communications, and vital records/databases.
- Continuity of Government – The preservation, maintenance, or reconstitution of the institution of government. It is the ability to carry out an organization's constitutional responsibilities. This is accomplished through succession of leadership, the pre-delegation of emergency authority and active command and control.

These closely connected concepts were often separate and compartmentalized activities. This old organizational framework has changed in the updated federal guidance and this new emphasis is reflected throughout the revised Cal EMA Continuity Planning documents. The California Continuity Program uses instead the reference to "Continuity Planning" as an overlapping integration of continuity of operations and continuity of government concepts.

The following elements form the foundation of the Continuity Planning Program:

CONTINUITY PROGRAM ELEMENTS <i>Consolidated Elements of Continuity of Operations and Continuity of Government</i>
Identification and prioritization of essential functions
Line of succession to essential positions required in an emergency
Delegation of authority and pre-delegation of emergency authorities to key officials
Continuity facilities and alternate worksites
Continuity communications
Human capital (protection of government resources, facilities and personnel)
Vital records management
Tests, training and exercises
Devolution of control and direction
Reconstitution

For additional information on Continuity Planning, please see the Discussion Paper titled, "Continuity Planning: A Consolidated Approach."

3.0 PLANNING REQUIREMENTS

In 2006, the Governor signed Executive Order S-04-06, which required Executive Branch agencies to use guidance promulgated by the California Emergency Management Agency (Cal EMA) to update their continuity plans. This "good business practice" has been affirmed by the incorporation of continuity planning into the Nation Incident Management System (NIMS) and California's Emergency Plan. The Governor's Emergency Operations Executive Council (GEOEC) is also committed to continuity planning, reflected by including the State Continuity Program as one of the key objectives in the *State Strategy for Emergency Management and Homeland Security*.

As a result, Cal EMA produced resources and guidance that enable State agencies and departments to enhance and maintain their continuity plans. The focus of the State Continuity Program has expanded to include an emphasis on the broader goal of supporting and continuing State essential functions and services under all conditions. To achieve this level of statewide continuity capability, it is imperative that individual State agencies and departments have effective and well-tested continuity plans and programs in place.

4.0 CONTINUITY PLANNING PROGRAM

Cal EMA created the Continuity Planning Program to achieve the objectives of the Executive Order and to provide all governmental organizations with the necessary planning resources to create or update their continuity plans. Application of the guidance proposed in this program will result in a baseline plan of capability that can be refined and enhanced over time.

The Continuity Program is comprised of the following components:

<i>Continuity Program Components</i>
Planning Program Description
Plan Guidelines and Template
Set of Planning Worksheets
Discussion Papers
Plan Evaluation Checklist
Cal EMA Sponsored Continuity Training Opportunities

Though some agencies will use the information provided in the program materials to update and enhance existing plans, those who are starting from the very beginning of the planning process will have everything they need to begin gathering data and constructing their plan.

5.0 PLAN DEVELOPMENT PROCESS

The Continuity Program tools include the *California Continuity Planning Guidance and Plan Template* and associated Worksheets. Organizations are encouraged to use the Guidance and Plan Template to familiarize themselves with the sorts of information that should be included in a Continuity Plan. It borrows generously from federal guidance, specifically the Federal Continuity Directive-1. The Guide and Template also provides a suggested organization of agency information.

The worksheets are a helpful tool for gathering, categorizing, and organizing critical data used in building the Continuity Plan. A list of the worksheets included in the materials is as follows:

<i>Worksheet #</i>	<i>Worksheet Name</i>
1	Essential Functions
1a	Supplement to Worksheet 1 – Essential Functions Process Details
2	Essential Functions Questionnaire
3	Resource Requirements for Essential Functions
4	Specific Threat Impact Assessment
5	Preliminary Vulnerability Assessment
6	Recovery Strategies
7	Minimum Facility Requirements
8	Continuity Facility/Alternate Worksite Options

9	Continuity Communications Systems
10	Key Personnel
11	Vital Records and Databases
12	Mission Critical Systems and Equipment
13	Vendors & Supporting Agencies
14	Key Positions & Lines of Succession
15	Delegations of Authority
16	Critical Activity Recovery Procedures

Depending on how far the organization has progressed in their planning process, some of these worksheets may be redundant or unnecessary. The worksheets are presented in a logical order, assuming that an organization has not undertaken previous continuity planning efforts. Organizations that have undergone previous data collection activities may choose to use a subset of these worksheets (or none at all), depending upon their planning process.

6.0 CONTINUITY PLANNING OUTCOME

The outcome of this process will be a baseline of continuity capability that should be refined and enhanced over time. The primary focus initially, should be on developing a basic capability for each of the key elements of continuity planning (see list of these elements on page 2). This basic capability will be followed by the development of a strategy to increase and build more specificity and sophistication into the Continuity Plan and Program. This ongoing development strategy should be described and outlined in a multi-year strategy and program management plan. The federal government has developed a multiple-year management plan template that could be used effectively toward this end. A link to this tool is available on the Cal EMA website.

7.0 STATE AGENCY CONTINUITY PLANNING MAINTENANCE PROGRAM INITIATIVE

The planning resources and tools included in this program can be used whether an organization is starting from the very beginning of the planning process or merely updating plans already in place. However, Executive Order S-04-06 requires that the plans developed or updated by state agencies and departments be consistent with the guidelines promulgated by CAL EMA.

Continuity plans and programs are dynamic and require regular updating to reflect any changes in the organization (e.g., staffing, structure, functions, equipment, communications, leadership, and resources). In order to ensure that departments and agencies are maintaining a baseline of capability in all the key planning element areas, a Continuity Plan Evaluation Checklist has been created and included in the program materials available on the Cal EMA website. The Continuity Plan Evaluation Checklist is a self-certification that an agency has developed and is maintaining a continuity plan that reflects the most current state and federal

continuity planning standards and best practices. The Checklist documents the organization's Continuity Program and Plan status.

Beginning in 2010, the Continuity Plan Evaluation Checklist is to be completed annually by the agency's continuity planning team and signed by the director. The Checklist should then be mailed to Cal EMA according to the [Schedule for Submission of Disaster Recovery Plans](#) posted on the Office of Information Security & Privacy Protection web site. If there are agencies that are not listed on the OISPP Schedule, please contact Cal EMA and/or OISPP for assistance.

Plan Evaluation Checklists should be mailed to the following address:

California Emergency Management Agency

Preparedness Branch

Cal EMA Continuity Program Coordinator

3650 Schriever Avenue

Mather, CA 95655

8.0 ADDITIONAL CONTINUITY PROGRAM RESOURCES

The *California Continuity Planning Guidance and Plan Template (2009)* and other valuable resources are available for download from the Cal EMA website at the following address: www.calema.ca.gov. As the State Continuity Program continues to evolve, additional development tools and aids will be added to the website. In addition to the Continuity program resources mentioned above, there are on-going training opportunities on Continuity Planning. Check the Cal EMA website for more information.

If there are questions about the materials provided in the Continuity Planning Program, please address them to: COOPCOG@oes.ca.gov.